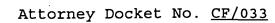
2164 oz.os.or

Rev. 11/00



Applicants : Andrew C. Gilbert et al.

Application No.: 09/851,848 ✓ Confirmation No.: 3671

Filed : May 9, 2001

For : SYSTEMS AND METHODS FOR CONTROLLING TRADERS

FROM MANIPULATING ELECTRONIC TRADING MARKETS

Group Art Unit: 2164

New York, New York 10020

January 11, 2002

Hon. Commissioner for Patents Washington, D.C. 20231

TRANSMITTAL LETTER FOR INFORMATION DISCLOSURE STATEMENT

RECEIVED

JAN 2 9 2002

Sir:

Technology Center 2100

Transmitted herewith is an Information Disclosure

Statement in the above-identified application. This Statement is submitted:

- [] within three months of the application filing date;
- [X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure

Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak

Registration No. P-50,492

Agent for Applicants

FISH & NEAVE

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I Hereby Certify that this Correspondence is being Deposited with the U.S. Postal Service as First Class Mail in an Envelope Addressed to:
COMMISSIONER FOR PATENTS P.O. Box 2327
PRUNGTON, VA22202 on

January 11, 2002 Lillian Garcia

Signature of Person Signing





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants

Andrew C. Gilbert et al.

Application No.:

09/851,848

Confirmation No.: 3671

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For

SYSTEMS AND METHODS FOR CONTROLLING TRADERS FROM MANIPULATING ELECTRONIC TRADING MARKETS

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New York, New York 10020

January 11, 2002

Hon. Commissioner for Patents Washington, D.C. 20231

RECEIVED

INFORMATION DISCLOSURE STATEMENT

JAN 2 9 2002

Technology Center 2100

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97, applicants wish to call the attention of the Examiner to the following documents:

U.S. Patent Documents

Hartheimer et al. 5,258,908 5,727,165 Ordish et al.

11/02/93

03/10/98

PCT Published Application

PCT

WO 00/11588

03/02/00

These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Applicants have not yet received an Office Action on the merits, therefore, pursuant to 37 C.F.R. § 1.97(b)(3), it is believed that no fee is required in connection with this Information Disclosure Statement.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak
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January 11, 2002 Lillian Garcia Yellian Barein

Signature of Person Signing

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE



INFORMATION DISCLOSURE STATEMENT BY APPLICANTS

	ATTY. DOCKET NO. CF/033	APPLICATION NO. 09/851,848						
	APPLICANTS Andrew C. Gilbert et al.	CONFIRMATION NO. 3671						
-	FILING DATE May 9, 2001	GROUP 2164						

U.S. PATENT DOCUMENTS

U.S. PATENT DOCUMENTS										
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE				
	5,258,908	11/02/93	Hartheimer et al.	364	408					
	5,727,165	03/10/98	Ordish et al.	395	237					
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					JAN 2	9 2002				
					Technology	Center 2100				

PCT PUBLISHED APPLICATIONS

EXAMINER	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
INITIAL						YES	NO_
	WO 00/11588	03/02/00	PCT	G06F	17/60	_	ļ
							<u> </u>
				<u> </u>			<u> </u>

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.